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Assistant Commissioner for Patents, Washington, D.C. 20231, on June 26, 2001.

*Patricia A. Johnson*  
Patricia Johnson

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Gilles H. TAPOLSKY and David W.  
OSBORNE

Serial No.: 09/684,682

Filing Date: October 4, 2000

For: PHARMACEUTICAL CARRIER  
DEVICE SUITABLE FOR DELIVERY  
OF PHARMACEUTICAL  
COMPOUNDS TO MUCOSAL  
SURFACES

Examiner: To Be Assigned

Group Art Unit: 1617

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 09/069,703, filed April 29, 1998, and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. § 1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the

application.

This Information Disclosure Statement is submitted:

- With the application; accordingly, no fee or separate requirements are required.
- Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - A fee is required. A check in the amount of \* is enclosed.
  - A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by

third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **359872000810**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: June 26, 2001

Respectfully submitted,

By:



Lisa A. Amii  
Registration No. P-48,199

Morrison & Foerster LLP  
755 Page Mill Road  
Palo Alto, California 94304-1018  
Telephone: (650) 813-5674  
Facsimile: (650) 494-0792



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# TRANSMITTAL FORM

*(to be used for all correspondence after initial filing)*

**Total Number Of Pages In This Submission**

Application Number 09/684,682

**Filing Date** **October 4, 2000**

**First Named Inventor** **Gilles H. TAPOLSKY**

**Group Art Unit** 1617

**Examiner Name** **To Be Assigned**

7 Attorney Docket No 359872000810

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declarations	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <ol style="list-style-type: none"> <li>1. Form PTO-1449 (3 pages)</li> <li>1. Return/receipt postcard.</li> </ol>
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**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm Lisa A. Amii  
or Morrison & Foerster LLP  
Individual Name 755 Page Mill Road  
Palo Alto, CA 94304

**Lisa A. Amii, Reg. No. P 48, 199**

Date June 26, 2001

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